

Docket No: AM100315
Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Application of: Welmaker et al.
Application No.: 10/016,418 Group Art No.: 1624
Filed: November 2, 2001 Examiner: B. Coleman
For: PROCESS FOR THE PREPARATION OF 1, 2, 3, 4, 8, 9, 10, 10a-
OCTAHYDRO-7bH-CYCLOPENTA[b][1, 4]DIAZEPINO- [6, 7, 1-
h]INDOLE DERIVATIVES
Confirmation No.: 8652
Customer Number: 25291

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

1. Preliminary Statements

In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

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5-28-04
Date

John R. Barker
John R. Barker

2. Identification of Time of Filing

This Information Disclosure Statement

- a. ☐ is filed within three months of the filing date of the application.
- b. ☐ is filed before the mailing date of a first Office Action on the merits.
- c. ☐ is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. ☒ is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
- e. ☐ is filed after the mailing date of a final action or Notice of Allowance but before payment of the issue fee. This statement includes (i) a certification under 37 CFR 1.97(e), and (ii) the fee set forth in 37 CFR 1.17(p).

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A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that if this patent application was filed or entered the national stage after June 30, 2003, no copy of a U.S. patent or U.S. patent application publication is enclosed.

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Prior application is Application Number _____, filed on _____ of _____ for _____

- ☐ Concise Explanation
Documents cited above which are not in the English Language
- a. ☐ have been explained in the specification.
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Form PTO-1449 is enclosed in duplicate.

- ☒ Fees
- ☒ Fee for filing under 37 CFR 1.97(c) or (d) Fee: \$180.00

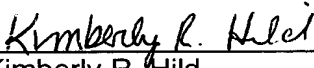
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Kimberly R. Hild
Attorney for Applicants
Reg. No. 39,224

Wyeth
Patent Law Department
Five Giralda Farms
Madison, NJ 07940
Tel. No. 484 865 8609

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known		
				Application Number		10/016,418
				Filing Date		November 2, 2001
				First Named Inventor		Welmaker
				Group Art Unit		1624
				Examiner Name		B. Coleman
Attorney Docket Number		AM100315				
Sheet	1	of	1			

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
	1.					

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
	2.							<input type="checkbox"/>

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.		T
	3.	GREGORY S. WELMAKER et al., Tetrahedron Letters, 45, xxx-xxx (2004) (4 pages)		<input type="checkbox"/>

Examiner Signature		Date Considered	
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